

Name of Regulated Entity: *Roosevelt & Cross Incorporated*

Report Period: *Third Quarter of 2020*

I. CONTRIBUTIONS made to officials of a municipal entity (list by state)

State	Complete name, title (including any city/county/state or other political subdivision) of municipal entity official	Contributions by each contributor category (i.e., for purposes of this form, dealer, dealer controlled PAC, municipal finance professional, municipal finance professional controlled PAC, non-MFP executive officer, municipal advisor, municipal advisor controlled PAC, municipal advisor professional, municipal advisor professional controlled PAC, and non-MAP executive officer). For each contribution, list contribution amount and contributor category (disclose all applicable categories for each contributor). (For example, \$500 contribution by non-MFP executive officer)
		If any contribution is the subject of an automatic exemption pursuant to Rule G-37(j), list amount of contribution and date of such automatic exemption.

None

II. PAYMENTS made to political parties of states or political subdivisions (list by state)

State	Complete name (including any city/county/state or other political subdivision) of political party	Payments by each contributor category
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None

III. CONTRIBUTIONS made to bond ballot campaigns (list by state)

A. Contributions

State	Official name of bond ballot campaign and jurisdiction (including city/county/state or other political subdivision) for which municipal securities would be issued and the name of the entity issuing the municipal securities	Contributions, including the specific date the contributions were made, by each contributor category
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None

B. Reimbursement for Contributions

List below any payments or reimbursements, related to any disclosed bond ballot contribution, received by each dealer, municipal finance professional, non-MFP executive officer, municipal advisor, municipal advisor professional, or non-MAP executive officer from any third party, including the amount paid and the name of the third party making such payments or reimbursements.

None

IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business (list by state)
A. Municipal Securities Business

State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
NY	Mount Morris, Village of, Mount Morris	Negotiated underwriting
MA	Wachusett Regional SD, Holden	Negotiated underwriting
CT	Somers, Town of, Somers	Negotiated underwriting
NY	Gloversville City SD, Gloversville	Negotiated underwriting
NY	Croton on Hudson, Village of, Croton on Hudson	Negotiated underwriting
NY	Onondaga County, Onondaga	Negotiated underwriting
NY	Oneida, City of, Oneida	Negotiated underwriting
MA	Hull, Town of, Hull	Negotiated underwriting
NY	New York City Municipal Water Finance Authority, New York City	Negotiated underwriting
NJ	Howell, Township of, Howell	Negotiated underwriting
NY	Mount Kisco, Village of, Mount Kisco	Negotiated underwriting
NY	Lysander, Town of, Lysander	Negotiated underwriting
TX	Jarrell, City of, Jarrell	Negotiated underwriting
NY	Beekmantown, Town of, Beekmantown	Negotiated underwriting
KY	Lexington-Fayette Urban County Govt, Lexington - Fayette	Negotiated underwriting
NY	Batavia, Town of, Batavia	Negotiated underwriting
NY	Eldred CSD, Eldred	Negotiated underwriting
SC	Renewable Water Resources	Negotiated underwriting
NY	Lockport, City of, Lockport	Negotiated underwriting
NY	Baldwinsville CSD, Baldwinsville	Negotiated underwriting
NJ	Long Branch, City, Long Branch	Negotiated underwriting
TX	Brazosport ISD, Brazosport	Negotiated underwriting
NY	West Canada Valley CSD, West Canada Valley	Negotiated underwriting
NY	Ulster County, Ulster	Negotiated underwriting

A. Municipal Securities Business

State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
NY	New York City Transitional Finance Authority, New York City	Negotiated underwriting
NY	New York City Transitional Finance Authority, New York City	Negotiated underwriting
NY	Rhode Island Housing & Mortgage Finance Corp	Negotiated underwriting
NY	Chateaugay CSD, Chateaugay	Negotiated underwriting
NY	Wallkill FD, Wallkill	Negotiated underwriting
NY	Watkins Glen, Village of, Watkins Glen	Negotiated underwriting
NY	Huntington, Town of, Huntington	Negotiated underwriting
NJ	Linden, City of, Linden	Negotiated underwriting
NY	North Hempstead, Town of, North Hempstead	Negotiated underwriting
NY	North Hempstead, Town of, North Hempstead	Negotiated underwriting
IA	West Des Moines CSD, West Des Moines	Negotiated underwriting
MA	Lowell, City of, Lowell	Negotiated underwriting
NJ	Mount Olive, Township of, Mount Olive	Negotiated underwriting
NY	New Paltz, Town of, New Paltz	Negotiated underwriting
NY	Briarcliff Manor, Village of, Briarcliff Manor	Negotiated underwriting
NY	Bellmont, Town of, Belmont	Negotiated underwriting
NY	Central Square CSD, Central Square	Negotiated underwriting
NY	Sagaponack, Village of, Sagaponack	Negotiated underwriting
NY	Jefferson County, Jefferson	Negotiated underwriting
NY	Jordan-Elbridge CSD, Jordan	Negotiated underwriting
CA	California, State of	Negotiated underwriting
TN	Murfreesboro, City of, Murfreesboro	Negotiated underwriting
NY	Corning, City of, Corning	Negotiated underwriting
NJ	Hopewell, Borough of, Hopewell	Negotiated underwriting

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NY	<i>Lysander, Town of, Lysander</i>	<i>Negotiated underwriting</i>
NY	<i>Owego Apalachin CSD, Owego</i>	<i>Negotiated underwriting</i>
NY	<i>Stillwater CSD, Stillwater</i>	<i>Negotiated underwriting</i>
TX	<i>Irving, City of, Irving</i>	<i>Negotiated underwriting</i>
TX	<i>Irving, City of, Irving</i>	<i>Negotiated underwriting</i>
SC	<i>Lexington County SD No.1, Lexington</i>	<i>Negotiated underwriting</i>
VA	<i>Suffolk, City of, Suffolk</i>	<i>Negotiated underwriting</i>
NY	<i>Mineola, Village of, Mineola</i>	<i>Negotiated underwriting</i>
NY	<i>Weedsport CSD, Weedsport</i>	<i>Negotiated underwriting</i>
NY	<i>New York City, New York City</i>	<i>Negotiated underwriting</i>
NY	<i>Rockland County, Rockland</i>	<i>Negotiated underwriting</i>
NJ	<i>Somerset County, Somerset</i>	<i>Negotiated underwriting</i>
RI	<i>Rhode Island Housing & Mortgage Finance Corp</i>	<i>Negotiated underwriting</i>
NY	<i>Lansing, Town of, Lansing</i>	<i>Negotiated underwriting</i>
NY	<i>Theresa, Village of, Theresa</i>	<i>Negotiated underwriting</i>
NY	<i>Lynbrook, Village of, Lynbrook</i>	<i>Negotiated underwriting</i>
NY	<i>Fayetteville-Manlius CSD, Manlius</i>	<i>Negotiated underwriting</i>
NY	<i>Patchogue, Village of, Patchogue</i>	<i>Negotiated underwriting</i>
NY	<i>Cleveland Hill UFSD, Cleveland Hill</i>	<i>Negotiated underwriting</i>
NY	<i>Long Beach, City of, Long Beach</i>	<i>Negotiated underwriting</i>
NY	<i>Long Beach, City of, Long Beach</i>	<i>Negotiated underwriting</i>
NY	<i>Eastchester, Town of, Eastchester</i>	<i>Negotiated underwriting</i>
NJ	<i>Weehawken, Township of, Weehawken</i>	<i>Negotiated underwriting</i>
NY	<i>Fishkill, Town of, Fishkill</i>	<i>Negotiated underwriting</i>
NY	<i>New York City Transitional Finance Authority, New York City</i>	<i>Negotiated underwriting</i>
NY	<i>Addison CSD, Addison</i>	<i>Negotiated underwriting</i>
NJ	<i>Franklin Lakes, Borough of, Franklin Lakes</i>	<i>Negotiated underwriting</i>

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NY	<i>Oneonta, City of, Oneonta</i>	<i>Negotiated underwriting</i>
NY	<i>New York City Housing Development Corp, New York City</i>	<i>Negotiated underwriting</i>
NY	<i>New York City Housing Development Corp, New York City</i>	<i>Negotiated underwriting</i>
NY	<i>Portville CSD, Portville</i>	<i>Negotiated underwriting</i>
NY	<i>Livingston County, Livingston</i>	<i>Negotiated underwriting</i>
NY	<i>Phoenix CSD, Phoenix</i>	<i>Negotiated underwriting</i>
NY	<i>Allegany County, Allegany</i>	<i>Negotiated underwriting</i>
NY	<i>Medina CSD, Medina</i>	<i>Negotiated underwriting</i>
NY	<i>Putnam County, Putnam</i>	<i>Negotiated underwriting</i>
NY	<i>Auburn, City of, Auburn</i>	<i>Negotiated underwriting</i>
NY	<i>Putnam County, Putnam</i>	<i>Negotiated underwriting</i>
NY	<i>Rensselaer County, Rensselaer</i>	<i>Negotiated underwriting</i>
NY	<i>Onondaga CSD, Onondaga</i>	<i>Negotiated underwriting</i>
NY	<i>Saratoga Springs, City of, Saratoga Springs</i>	<i>Negotiated underwriting</i>
NY	<i>Cortland Enlarged City SD, Cortland</i>	<i>Negotiated underwriting</i>
NY	<i>Orchard Park CSD, Orchard Park</i>	<i>Negotiated underwriting</i>
NY	<i>Port Jefferson, Village of, Port Jefferson</i>	<i>Negotiated underwriting</i>
NY	<i>Nyack, Village of, Nyack</i>	<i>Negotiated underwriting</i>
CT	<i>Connecticut Housing Finance Authority</i>	<i>Negotiated underwriting</i>
NY	<i>Cohoes, City of, Cohoes</i>	<i>Negotiated underwriting</i>
FL	<i>West Palm Beach, City of, West Palm Beach</i>	<i>Negotiated underwriting</i>
NY	<i>North Hempstead, Town of, North Hempstead</i>	<i>Negotiated underwriting</i>
NY	<i>Canastota CSD, Canastota</i>	<i>Negotiated underwriting</i>
NY	<i>Ossining, Town of, Ossining</i>	<i>Negotiated underwriting</i>
NY	<i>New Lebanon CSD, New Lebanon</i>	<i>Negotiated underwriting</i>
NY	<i>Monroe, Town of, Monroe</i>	<i>Negotiated underwriting</i>
NJ	<i>Bound Brook, Borough of, Bound Brook</i>	<i>Negotiated underwriting</i>

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NY	Cattaraugus-Little Valley CSD, Cattaraugus	Negotiated underwriting
NY	Chili, Town of, Chili	Negotiated underwriting
NY	New York State Housing Finance Agency	Negotiated underwriting
NY	New York State Housing Finance Agency	Negotiated underwriting
NY	Corning, Town of, Corning	Negotiated underwriting
NY	Broadalbin-Perth CSD, Broadalbin	Negotiated underwriting
NY	North Salem, Town of, North Salem	Negotiated underwriting
NY	North Salem, Town of, North Salem	Negotiated underwriting
NY	Oneonta, City of, Oneonta	Negotiated underwriting
NY	New York State Urban Development Corp	Negotiated underwriting
NY	New York State Urban Development Corp	Negotiated underwriting
MD	Montgomery County, Montgomery	Negotiated underwriting
NJ	Burlington, Township of, Burlington	Negotiated underwriting
NJ	Woodbridge BOE, Township of, Woodbridge	Negotiated underwriting
NY	Pleasantville UFSD, Pleasantville	Negotiated underwriting
NY	Eastchester UFSD, Eastchester	Negotiated underwriting
NJ	Eastampton, Township of, Eastampton	Negotiated underwriting
NJ	Rahway, City of, Rahway	Negotiated underwriting
PA	Pennsylvania Higher Education Facility Authority	Negotiated underwriting
NY	Spencer-Van Etten CSD, Spencer	Negotiated underwriting
NJ	Waldwick, Borough of, Waldwick	Negotiated underwriting
NY	New York State Dormitory Authority	Negotiated underwriting
NY	Rockland County, Rockland	Negotiated underwriting
NY	Cornwall, Town of, Cornwall	Negotiated underwriting

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<i>NY</i>	<i>Kings Point, Village of, Kings Point</i>	<i>Negotiated underwriting</i>
<i>NJ</i>	<i>Robbinsville, Township of, Robbinsville</i>	<i>Negotiated underwriting</i>
<i>NY</i>	<i>Amsterdam, City of, Amsterdam</i>	<i>Negotiated underwriting</i>
<i>NY</i>	<i>Central Square CSD, Central Square</i>	<i>Negotiated underwriting</i>

B. Municipal Advisory Business

State	Complete name of municipal entity and city/county	Type of municipal advisory business (advice or solicitation) (and in the case of municipal advisory business engaged in by a municipal advisor third-party solicitor, the name of the third party on behalf of which business was solicited and the nature of the business solicited (municipal securities business, municipal advisory business or investment advisory services))
<i>NY</i>	<i>Niagara Falls Bridge Commission</i>	<i>Advice</i>

C. Ballot-Approved Offerings

Full name of the municipal entity and issue description of any primary offering resulting from the bond ballot campaign to which each contributor category has made a contribution and the reportable date of selection on which the regulated entity was selected to engage in the municipal securities business or municipal advisory business.

Full Name of Municipal Entity	Issue Description	Reportable Date of Selection
<i>None</i>		

FORM G-37



Signature: electronic

Date: *Oct 16, 2020*

Name (must be officer of regulated entity): *MATTHEW CAMPOLETTANO*

Address: *One Exchange Plaza, New York, NY 10006*

Phone: *212-504-9264*

Submit to the Municipal Securities Rulemaking Board a completed form quarterly by due date (specified by the MSRB)